

Reference Guide

Purpose of this document	The purpose of this document is to provide step by step instructions and definitions to aid users in the completion of the Company Commercialization Report (CCR).
Commercialization Glossary	SBIR - Small Business Innovation Research program STTR - Small Business Technology Transfer program SBC - Small Business Concern DOD - United States Department of Defense IPO - Initial Public Offering VCOC - Venture Capital Operating Companies HF - Hedge Fund PE - Private Equity R&D - Research and Development

Definitions

"Sales" includes cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under this Phase II project.

- Count only such revenue accruing to your firm and not to other entities. If your firm sold
 or licensed the technological know-how developed under Phase II to another entity, enter
 the cash revenue accruing to the other entity from its sale of new products or non-R&D
 services embodying the Phase II technology in the "3rd Party Revenue" field, not with
 your firm's sales figures.
- If the new product/service embodying the Phase II technology is a component of a larger product/service (e.g., an improved coating on an existing optical lens product), count only the sales attributable to the component rather than the larger product/service.

"Sales" does not include:

- SBIR/STTR contracts or grants (Phase I or II), or revenue from any other R&D activities, including follow-on R&D contracts or grants. "R&D activities" include any activities directed toward reducing the technical risk of the technology.
- Revenue from your firm's sales to an affiliate of your firm. (13CFR121.103)

"3rd Party Revenue" (if known):



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Includes cash revenues received by an entity other than your firm from the sale of new products or non-R&D services derived from the specific technology developed under this Phase II project, for example through a license agreement or spin-off. Only count the portion of 3rd Party Revenues that accounts for the SBIR/STTR technology's share of the total product or service. Example: If a new coating for helicopter blades developed under a SBIR/STTR Phase II project is used by a 3rd Party Manufacturer, count only the 3rd Party revenues attributed to the blade coating, not the entire helicopter.

"Additional Investment" includes investment by any source other than the federal SBIR/STTR programs (Phase I or Phase II) in activities that further the development and/or commercialization of the specific technology developed under the Phase II project. Examples of such activities include:

- Additional R&D on the Phase II technology
- Manufacturing/production start-up
- Purchase of plant and equipment for manufacturing/production
- Protection of intellectual property
- Obtaining certifications
- · Marketing start-up and marketing; and
- Training of workforce to manufacture or sell new products embodying the Phase II technology

These may be activities funded and conducted by your firm or by other entities.

"Fielded Federal System" or "Acquisition program" refers to an acquisition program's plan that details the steps, actions and responsibilities of the fielding and successful deployment of a supported material system. Acquisition program is a federal procurement initiative.

"Cost Saving or Cost Avoidance" refers to a reduction in actual expenditures below the projected level of costs to achieve a specific objective. Cost Avoidance is an action taken in the immediate time frame that will decrease costs in the future.

"Allocation of Rights Agreement" between a small business concern and a research institution establishes the intellectual properties rights of the parties prior to the subcontract being issued.



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Reminder

As you prepare to complete your Company Registry Commercialization Report please remember these Do's and Don'ts

Do's and Don'ts

- Do not include Phase I or Phase II SBIR/STTR awards in sales or investment.
- 2. Do not count the same item as both sales and additional investment.
- 3. Additional R&D services should be recorded as additional investment, not sales.
- 4. If two or more Phase II projects contributed to a single new product that has generated sales revenue and/or additional investment, apportion the sales and investment among the contributing projects without double-counting. Example: Phase II projects A and B lead to a new software product that has generated sales of \$10 million to the Army and \$12 million to retail software stores. For both projects A and B, enter \$5 million for sales to DOD and \$6 million for sales to the private sector.
- 5. Count only actual sales and investment <u>dollars received to date</u>, not projected sales or investment. For sales to or investment by the government, count only the amount of government funding that has been obligated to date and not the total award amount.
- 6. Outside (non-SBIR/STTR) funding received through the Fast Track and/or Phase II Plus/Enhancement/IIB programs, should be reported as *additional investment*, but do not include the government SBIR matching funds.
- 7. For purposes of this report, your "firm" includes all affiliates. (Reference 13CFR121.103)
- 8. Only report sales and investment figures on Phase II awards received by your firm. In the case of novation or company acquisition, do not count commercialization accrued to the original firm prior to the novation or acquisition, and explain these special circumstances in the narrative.



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Instructions

For each SBIR and STTR Phase II award received to date from any Federal agency, provide current and accurate commercialization - sales and/or additional investment - resulting from. extending, or completing the Phase II project. To view or print the information currently contained in the Company Registry Commercialization Report, go to "My Dashboard" > "My Documents" located at www.sbir.gov.

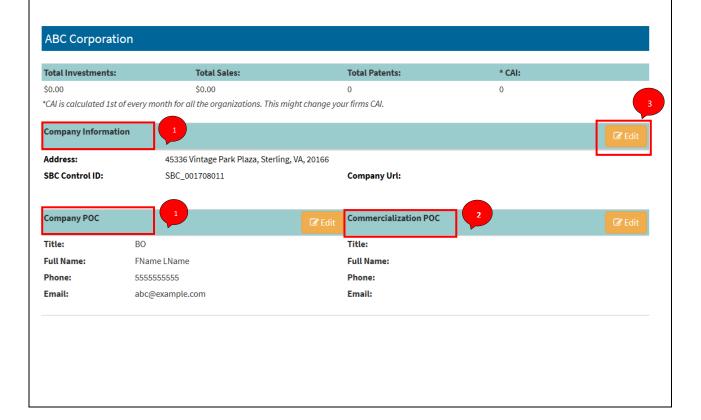
Step 1: Create/ Update Commercialization 1. Once signed into your company dashboard scroll down and click on the create/update Commercialization tab under "Current Report Version". At Last Assessment When updating existing Transition Rate report user will see and Commercialization click here These benchmark requirements apply only to those companies that have received more than 20 Phase I awards over the past 5 years (Transition Rate) or more than 15 Phase II awards over the past 10 years (Commercialization Rate). If your company has not won the threshold number of awards for a benchmark, the table above will show "N/A" instead of the rate. Click here for more information on the Performance Benchmark requirements If you have any questions or concerns about any of your Performance Benchmark Rates listed above, click here to send your feedback Report Version History Download Instructions ☑ Download Guide ☑ We've noticed that your firm has not received any investments or generated revenu When creating a new report user based on the work performed under any of your SBIR/STTR awards. If you have such information to report, please click on "Create Commercialization" button below. will see and click here



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Step 2: Company, Company POC and Commercialization POC

- 1. Verify that all displayed "Company, Company POC" information is accurate and up to date, this information is pulled form the Company registration.
- 2. If you are creating a new Commercialization Report, you must add a Commercialization POC. If you are updating you may verify and update the stored POC information.
- 3. Click on the edit button next to the individual section to make necessary updates and edits and fill in all required fields for the completion of the report. (All Fields with an * symbol are required for the completion of these sections)





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Step 3: Additional Company Information 1. Verify and edit the "Additional Company Information" by clicking on the edit button on top of the section. Fill out all felids marked with an (*) for they are required for the submission of the report. Additional Company Information % Revenue for last fiscal year fr 1 N/A N/A #Emp IPO resulting from SBIR/STTR | Year of IPO No I N/A Patents resulting from SBIR/STTR | #Patents List of Pate

SBC majority-owned by multiple VCOC, HF, PE firms | By what percent (%):

Step 4: Additional Investments From and Phase III Sales To

N

Yes | 51%

- The "Additional Investment From" section is auto populated; no edits can be made to these sections of the report.
- 2. The "Phase III Sales To" section is auto populated; no edits can be made to these sections of the report.





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Step 5: Commercialization Narrative

- The next section consists of the Commercialization Narrative (optional). This section may be used for the following:
 - You may include a brief optional narrative discussing your firm's commercialization track record, including such items as
 - Commercialization successes that are not fully reflected in the quantitative results (e.g. commercialization resulting from your firm's prior Phase I projects);
 - Any mitigating factors that could account for low commercialization; and
 - Recent changes in the firm's organization or personnel designed to increase the firm's commercialization success

Commercialization Narrative

☑ Edit

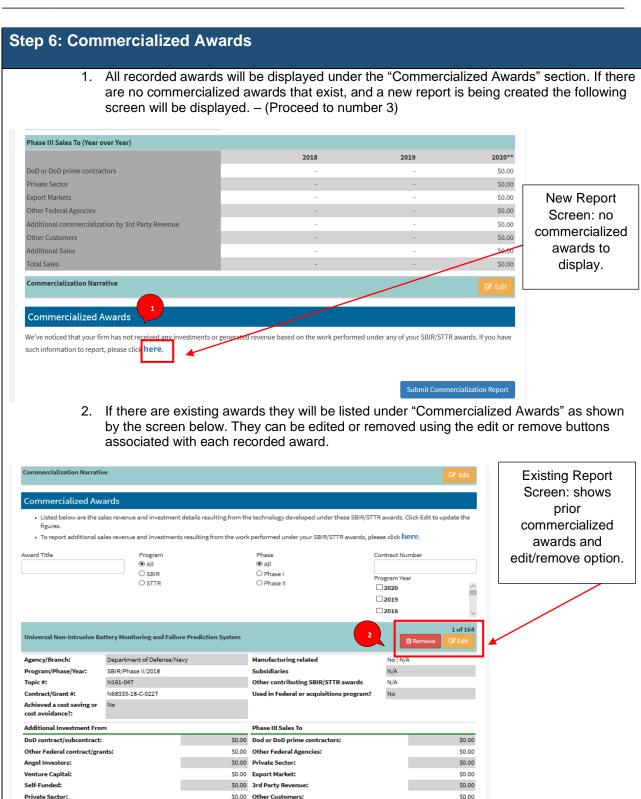
- Commercialization successes that are not fully reflected in the quantitative results (e.g. commercialization resulting form your firm's prior Phase projects);
- Any mitigating factors that could account for low commercialization; and
- Recent changes in the firm's organization or personnel designed to increase the firm's commercialization success



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Other Sources:

Investment Total:



\$0.00

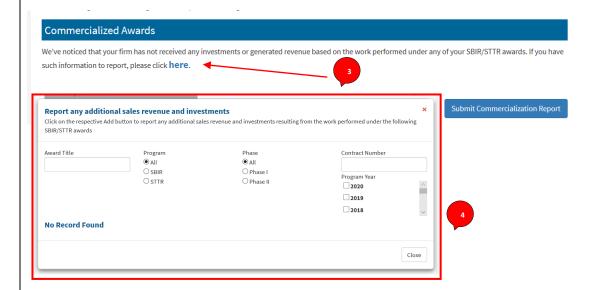
\$0.00 Sales Total:

\$0.00



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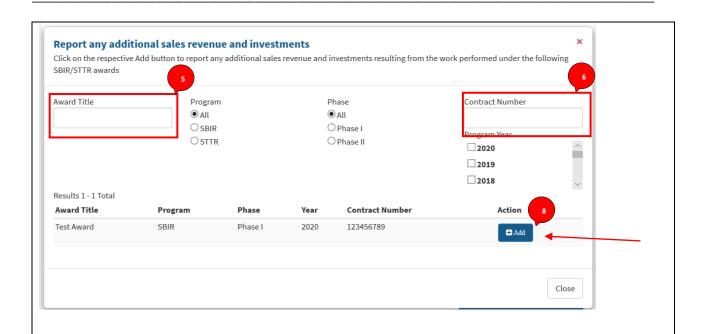
- 3. To add an award's commercialization, or to report any additional sales revenue click on the "here" button
- 4. Fill in the "Report any additional sales revenue and investments" fields to search for awards



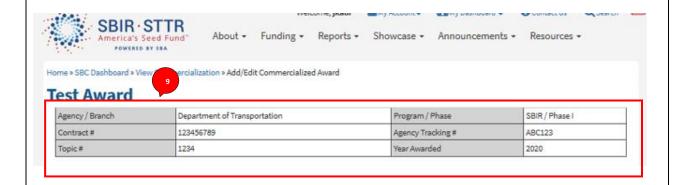
- 5. You may search by the "Award Titile"
- 6. You may also search by the "Contract Number"
- 7. Find the award you would like to add
- 8. Click on the "Add" the button under Action to add



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- 9. On the next screen that opens verify that the displayed award information is accurate
- 10. The information provided in the box under the award title cannot be edited or removed.



- 11. Fill in the information related to the Award on this next screen. If you click yes, some of the questions will require ansewers to related sub questions.
- 12. All fields marked with an (*) are required fields and needed for the completion of the award.



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ŞBŅ Welcome, jkaur

≜My Account →

My Dashboard → Contact Us Q Search SBIR · STTR About + Funding + Reports + Showcase + Announcements + Resources + Home » SBC Dashboard » View Commercialization » Add/Edit Commercialized Award Test Award Agency / Branch Department of Transportation Program / Phase SBIR / Phase I Contract# 123456789 Agency Tracking # ABC123 1234 2020 Topic# Year Awarded Production/Commercialization Product Has the technology developed under this project been used in a fielded Federal system or acquisition program?* O Yes List other SBIR or STTR awards that can also be contributed to this commercialization success. (List as semicolon delimited) Manufacturing Is the technology developed under this project related to manufacturing?* No O Yes Cost Saving Has the technology developed under this project achieved a cost saving or cost avoidance for the government or end user?* No O Yes



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13. If additional information is requried for any given section user can click on the associated question mark symbol to get further information and details on how to complete the section. Names of Companies established for Product/Commercialization: Company 5 Additional Investment From DoD contracts/DoD subcontracts Angel Investors * Venture Capital * Other Federal Agencies or Prime Contractor contracts/grants * Other Sources * Field Additional Information 'Additional Investment' includes investment by any source other than SBIR/STTR Phase I or Phase II awards in activities that further the development and/or commercialization of the specific technology developed under this Phase II project. Examples of such activities include · Additional R&D on the Phase II technology: · Manufacturing/production start-up; · Purchase of plant and equipment for manufacturing/production; · Protection of intellectual property; · Obtaining certifications; · Marketing start-up and marketing; and • Training of workforce to manufacture or sell new products embodying the Phase II technology. These may be activities funded and conducted by other entities or by your firm itself. Close



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14. In the "Phase III Sales to" section all fields are required. 15. If additional information is needed on what each feild is asking for click on the assoicated question mark symbol for further clarification. Phase III Sales to DoD or DoD prime contractors * Other Federal Agencies * Export Markets * Private Sector * Additional commercialization by 3rd Party Revenue * Other Customers * Field Additional Information 'SALES' is broadly defined to include all cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under this Phase II project. It also includes any revenues from the sale or licensing of technology, technological know-how, or intellectual property developed under the Phase II. Count only such revenue accruing to your firm and not to other entities, If your firm sold or licensed the technological know-how developed under a Phase II award to another entity, enter the cash revenue accruing to the other entity from its sale of new products or non-R&D services embodying the Phase II technology in the '3rd Party Revenue' field, not with your firm's sales figures. Count only the sales directly related to the Phase II work. If the new product/service embodying the Phase II technology is a component of a larger product/service (e.g., an improved coating on an existing optical lens product), count only the sales attributable to the component rather than the larger product/service. Do not count SBIR/STTR contracts or grants (Phase I or II), or revenue from any other R&D activities, including follow-on R&D contracts or grants. Close



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16. If you have any Phase III awards to report click on the yes button and more questions will show up. Other Customers * Phase III Do you have a Phase III award to report? 0 17. Fill in the assoicated fields as shown below and after all fields are filled click the save button.



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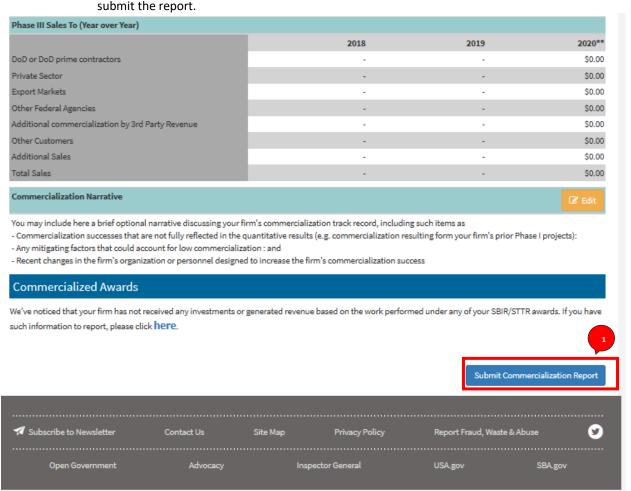
Please provide details below: Funding Agreement/Contract# **Project Title** Year Awarded Select Year ... Value \$ Agency (Please select one or more agencies below) Department of the Interior Department of Transportation Department of Homeland Security -- Countering Weapons of Mass Destruction -- Domestic Nuclear Detection Office -- Domestic Nuclear Detection Office SBIR Program -- Science and Technology Directorate Department of Health and Human Services -- National Institutes of Health Environmental Protection Agency National Aeronautics and Space Administration Department of Energy -- ARPA-E Department of Defense -- Air Force -- Army -- Defense Advanced Research Projects Agency -- Defense Health Program -- Defense Logistics Agency -- Defense Threat Reduction Agency -- Missile Defense Agency -- National Geospatial-Intelligence Agency -- Navy -- Office for Chemical and Biological Defense -- Office of the Secretary of Defense -- Special Operations Command Department of Commerce -- National Institute of Standards and Technology -- National Oceanic and Atmospheric Administration Department of Education -- Institute of Education Sciences -- Office of Special Education and Rehabilitative Services / National Institute on Disability and Rehabilitation Research Depar griculture -- Nati ute of Food and Agriculture



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Step 7: Submission of Commercialization Report

1. After all information has been reported click on the "Submit Commercialization Report" button to submit the report.



- 2. If there are any required fields that are missing, you will see the error messages at the top of the screen. All error messages need to be corrected before you can continue to submit.
- 3. If there are no errors after you click the "Submit Commercialization Report" the below Certify/Submit screen will appear.



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and does not include sales to an affiliate of your firm. *

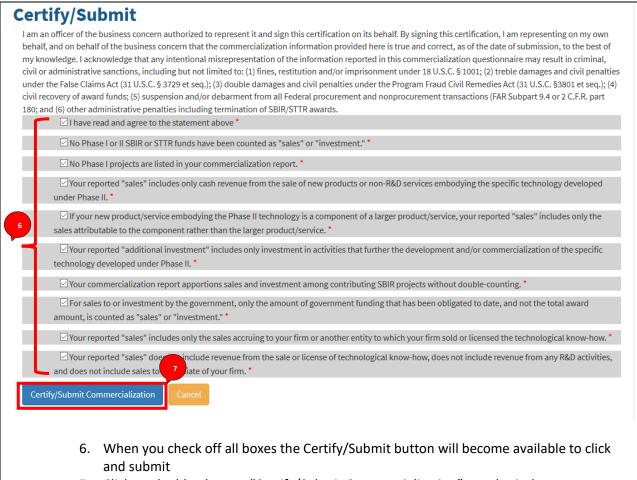
Certify/Submit Commercialization

Certify/Submit I am an officer of the business concern authorized to represent it and sign this certification on its behalf. By signing this certification, I am representing on my own behalf, and on behalf of the business concern that the commercialization information provided here is true and correct, as of the date of submission, to the best of my knowledge. I acknowledge that any intentional misrepresentation of the information reported in this commercialization questionnaire may result in criminal, civil or administrative sanctions, including but not limited to: (1) fines, restitution and/or imprisonment under 18 U.S.C. § 1001; (2) treble damages and civil penalties under the False Claims Act (31 U.S.C. § 3729 et seq.); (3) double damages and civil penalties under the Program Fraud Civil Remedies Act (31 U.S.C. § 3801 et seq.); (4) civil recovery of award funds; (5) suspension and/or debarment from all Federal procurement and nonprocurement transactions (FAR Subpart 9.4 or 2 C.F.R. part 180; and (6) other administrative penalties including termination of SBIR/STTR awards. ☐ I have read and agree to the statement above * No Phase I or II SBIR or STTR funds have been counted as "sales" or "investment." ' ☐ No Phase I projects are listed in your commercialization report. * ☐ Your reported "sales" includes only cash revenue from the sale of new products or non-R&D services embodying the specific technology developed under Phase II. * If your new product/service embodying the Phase II technology is a component of a larger product/service, your reported "sales" includes only the sales attributable to the component rather than the larger product/service. * ☐ Your reported "additional investment" includes only investment in activities that further the development and/or commercialization of the specific technology developed under Phase II. * ☐ Your commercialization report apportions sales and investment among contributing SBIR projects without double-counting. ☐ For sales to or investment by the government, only the amount of government funding that has been obligated to date, and not the total award amount, is counted as "sales" or "investment." * ☐ Your reported "sales" includes only the sales accruing to your firm or another entity to which your firm sold or licensed the technological know-how. * ☐ Your reported "sales" does not include revenue from the sale or license of technological know-how, does not include revenue from any R&D activities,

- 4. You must read and click the boxes next to each statement if you agree with what is stated in each pertaining field.
- 5. All boxes need to be checked off before you can submit the report successfully.



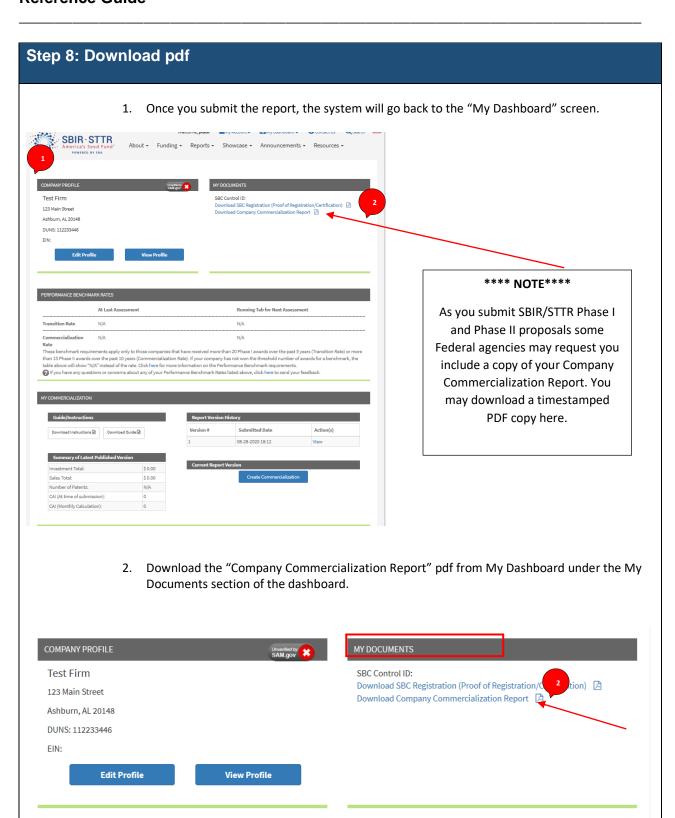
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7. Click on the blue button "Certify/Submit Commercialization" to submit the report.



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3. The below image is an example of what the Commercialization Report pdf looks like



SBIR Company Commercialization Report

Test Firm

Total Investments: Total Sales: Total Patents: * CAI:

\$0.00 0
*This CAI is calculated at the time of submission. CAI is calculated 1st of every month for all the organizations. This might change your firms CAI.
Please visit our company dashboard on SBIR.Gov to view the most recent CAI for your organization.

Company Information

Address: 123 Main Street, Ashburn, AL, 20148

SBC Control ID: SBC_001707977 Company Url:

Company POC Commercialization POC

Title: Title: Com POC Full Name: loe Smith Full Name: loe Smith Phone: 7031234567 Phone: () -

Email: joesmith@gmail.com Email: joes@gmail.com

Additional Company Information

% Revenue for last fiscal year from SBIR/STTR funding:	Total revenue for last fiscal year:
30.0%	< \$100,000
Year Founded:	# Employees Currently:
2019	40
Year first Phase I award received:	# SBIR/STTR Phase I Awards:
2020	1
Year first Phase II award received:	# SBIR/STTR Phase II Awards:
2020	1
# Employees at first Phase II award:	Mergers and Acquisition within past 2 years:
40	No
Spin-offs resulting from SBIR/STTR:	IPO resulting from SBIR/STTR Year of IPO:
No	No N/A
Patents resulting from SBIR/STTR #Patents:	List of Patents:
No N/A	
Woman-O wned:	Socially and Economically Disadvantaged:
Una vailable	Unavailable
HUBZone-Certified:	SBC majority-owned by multiple VCOC, HF, PE firms By what percent (%):
Una vailable	No N/A

Additional Investment From (Year over Year)

	2018	2019	2020
DoD contracts/DoD subcontracts			\$0.00
Angel Investors			\$0.00
Venture Capital			\$0.00
SelfFunded			\$0.00
Private Sector			\$0.00
Other Federal Contracts/Grants			\$0.00
Other Sources			\$0.00
Additional Investment		-	\$0.00